

Please type a plus (+) sign inside this box

[ ] +

01-14-02

A  
PTO/SB/05 (03-01)

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	2102397-991180
First Inventor	Saiki et al.
Title	HIGH VOLTAGE GENERATION AND REGULATION..
Express Mail Label No.	EL 904 946 465 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

- Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original, and a duplicate for fee processing)*
- Applicant claims small entity status.  
See 37 CFR 1.27.
- Specification  
*(preferred arrangement set forth below)*

[Total Pages: 40]

–Descriptive title of the invention  
–Cross Reference to Related Applications  
–Statement Regarding Fed sponsored R&D  
–Reference to sequence listing, a table,  
or a computer program listing appendix  
–Background of the Invention  
–Brief Description of the Drawings (*if filed*)  
–Detailed description  
–Claim(s)  
–Abstract of the Disclosure

4.  Drawings(s) (35 U.S.C. 113) [Total Sheets 17]

5.  Oath or Declaration [Total Pages 3]

- a.  Newly executed (original or copy)
- b.  Copy from a prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 18 completed)*

i.  **DELETION OF INVENTOR(S)**

Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR. 1.76.

ADDRESS TO: Commissioner of Patents and Trademarks  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
8.  Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies; or
    - ii.  paper
  - c.  Statements verifying identify of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  
*(when there is an assignee)*  Power of Attorney by Assignee
11.  English Translation Document (*if applicable*)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: Express Mail Certificate

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part    of prior acceptance No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	 (Insert Customer Number or Bar Code Label here)		<input type="checkbox"/> Correspondence address below
Name	26379		
Address			
City	State	Zip Code	
Country	Telephone	Fax	

NAME (Print/Type)	Edward B. Weller	Registration No. (Attorney/Agent)	37,468
Signature	<u>Edward B. Weller</u>	Date	January 10, 2002

Please type a plus (+) sign inside this box

PTO/SB/05 (03-01)

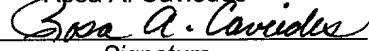
Express Mail Label Number: EL 904 946 465 US

I hereby certify that this Utility Patent Application is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Box Patent Application, Commissioner of Patents & Trademarks; Washington, DC 20231.

January 10, 2002

Date

Rosa A. Caviedes



Signature

Gray Cary\EM\7099762.1  
2102397-991180

# FEE TRANSMITTAL for FY 2002

*Patent fees are subject to annual revision.*

**TOTAL AMOUNT OF PAYMENT** (\$ 3,072.00)

<i>Complete if Known</i>	
Application Number	Not yet assigned
Filing Date	01/10/02
First Named Inventor	William John Saiki et al.
Examiner Name	Not yet assigned
Group Art Unit	Not yet assigned
Attorney Docket No.	2102397-991180

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **07-1896**

Deposit Account Name **Gray Cary Ware & Freidenrich LLP**

Charge Any additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

Check in the amount of \$ **\$ 3,072.00**

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code	(\\$)	(\\$)
101	740	201	370 Utility filing fee
106	330	206	165 Design filing fee
107	510	207	255 Plant filing fee
108	740	208	370 Reissue filing fee
114	160	214	80 Provisional filing fee
<b>SUBTOTAL (1) (\$ 740.00)</b>			

### 2. EXTRA CLAIM FEES

Total Claims	82	-20** =	62	X	18	=	1,116.00
Independent Claims	17	-3*** =	14	X	84	=	1,176.00

Multiple Dependent X =

Large Entity	Small Entity	Fee Description
Fee Code	Fee Code	(\\$)
103	18	203 9 Claims in excess of 20
102	84	202 42 Independent claims in excess of 3
104	280	204 140 Multiple dependent claim, if not paid
109	80	209 42 ** Reissue independent claims over original patent
110	18	210 9 ** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2) (\$ 2,292.00)</b>		

*\*\*or number previously paid, if greater; For Reissues, see above*

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code	(\\$)	(\\$)
105	130	205 65 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	400	216 200 Extension for reply within second month	
117	920	217 460 Extension for reply within third month	
118	1,440	218 720 Extension for reply within fourth month	
128	1,960	228 980 Extension for reply within fifth month	
119	320	219 160 Notice of Appeal	
120	320	220 160 Filing a brief in support of an appeal	
121	280	221 140 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive – unavoidable	
141	1,280	241 640 Petition to revive – unintentional	
142	1,280	242 640 Utility issue fee (or reissue)	
143	460	243 230 Design issue fee	
144	620	244 310 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR 1.17(q)	
126	180	126 180 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	40.00
146	740	246 370 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249 370 For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279 370 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	
Other fee (specify) _____			

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$ 40.00)**

## SUBMITTED BY

Name (Print/Type)	Edward B. Weller	Registration No. (Attorney/Agent)	37,468	Telephone	(650) 833-2436
Signature	<i>Edward B. Weller</i>			Date	January 10, 2002

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Docket No.

Applicant(s): Saiki et al

2102397-991180

Serial No. Not yet assigned	Filing Date January 10, 2002	Examiner Not yet assigned	Group Art Unit Not yet assigned
--------------------------------	---------------------------------	------------------------------	------------------------------------

**Invention: HIGH VOLTAGE GENERATION AND REGULATION SYSTEM  
FOR DIGITAL MULTILEVEL NONVOLATILE MEMORY**

I hereby certify that this Fee Transmittal for FY 2002; Utility Application Transmittal Letter; Utility Patent Application (40 pgs.) with 17 sheets of Informal drawings; Declaration for Patent (3 pgs.); Recordation Form Cover Sheet with Assignment (4 pgs.); Power of Attorney by Assignee; Check for \$3,072.00; and Return Post Card.

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner of Patents and Trademarks, Washington, D.C., 20231-0001 on January 10, 2002

*(Date)*Rosa A. Caviedes*(Typed or Printed Name of Person Mailing Correspondence)*Rosa A. Caviedes*(Signature of Person Mailing Correspondence)*EL 904 946 465 US*("Express Mail" Mailing Label Number)*

**Note: Each paper must have its own certificate of mailing.**

**EL 904 946 465 US**